

Law Offices  
**FOLEY & LARDNER**  
3000 K Street, Suite 500  
Washington, DC 20007-5109

TO: Assistant Commissioner for Patents  
Box Patent Applications  
Washington D.C. 20231

Attorney Docket No. 016887/1026  
(must include alphanumeric codes if no inventors named)

**UTILITY PATENT APPLICATION TRANSMITTAL**

**(new nonprovisional applications under 37 CFR 1.53(b))**

Transmitted herewith for filing is the patent application of:

**INVENTOR(S): Tomoharu TANAKA, Masaki MOMODOMI, Hideo KATO, Hiroto NAKAI, Yoshiyuki TANAKA, Riichiro SHIROTA, Seiichi ARITOME, Yasuo ITOH, Yoshihisa IWATA, Hiroshi NAKAMURA, Hideko ODAIRA, Yutake OKAMOTO, Masamichi ASANO, and Kaoru TOKUSHIGE**

**TITLE: NON-VOLATILE SEMICONDUCTOR MEMORY DEVICE AND MEMORY SYSTEM USING THE SAME**

In connection with this application, the following are enclosed:

**APPLICATION ELEMENTS:**

☒ **Specification - 91 TOTAL PAGES**

(preferred arrangement:)

- Descriptive Title of the Invention
- Cross Reference to Related Applications
- Statement Regard Fed sponsored R&D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

☒ **Formal Drawings - Total Sheets 99**

☒ **Declaration and Power of Attorney - Total Sheets 4**

- ☐ Newly executed (original or copy)
- ☐ Copy from a prior application (37 CFR 1.63(d))
- ☒ (relates to continuation/divisional boxes completed) - NOTE: Box below
- ☐ **DELETION OF INVENTOR(S)** - Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

☒ **Incorporation By Reference** (useable if copy of prior application Declaration being submitted)

The entire disclosure of the prior application, from which a COPY of the oath or declaration is supplied as noted above, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

☐ **Microfiche Computer Program (Appendix)**

- ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- ☐ Computer Readable Copy
  - ☐ Paper Copy (identical to computer copy)
  - ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee)
- ☐ English Translation Document (if applicable)
- ☒ Information Disclosure Statement (IDS) with PTO-1449. ☐ Copies of IDS Citations
- ☒ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)
- ☐ Small Entity Statement(s)
  - ☐ Statement file in prior application, status still proper and desired.
- ☐ Certified Copy of Priority Document(s) with Claim of Priority (if foreign priority is claimed).
- ☐ OTHER: Drawing Changes with Fig. 5 & 53 attached; Check for \$760.00

If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:

- ☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)  
of prior application Serial No. 09/283,583 filed April 1, 1999.

(See Preliminary Amendment filed concurrently herewith for continuing data to be incorporated into the specification.)

**CORRESPONDENCE ADDRESS:**

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Telephone: (202) 675-5300  
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**FEE CALCULATIONS:** (Small entity fees indicated in parentheses.)

(1) For	(2) Number Filed	(3) Number Extra	(4) Rate	(5) Basic Fee \$710 (\$355)
Total Claims	6-20 =	-0-	x \$18 (x \$9)	
Independent Claims	2-3 =	-0-	x \$80 (x \$40)	
Multiple Dependent Claims			\$270 (\$135)	
Assignment Recording Fee per property			\$40	
Surcharge Under 37 C.F.R. 1.16(e)			\$130 (\$65)	
TOTAL FEE:				\$710.00

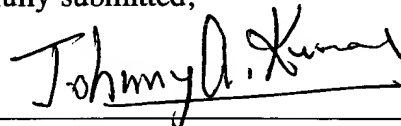
**METHOD OF PAYMENT:**

X A check in the amount of the above TOTAL FEE is attached.

X If payment by check is NOT enclosed, it is requested that the Patent and Trademark Office advise the undersigned of the period of time within which to file the TOTAL FEE. If payment enclosed, this amount is believed to be correct; however, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 19-0741.

November 28, 2000

Respectfully submitted,



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Johnny A. Kumar

Registration No. 34,649

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No. 016887/1026

In re patent application of

Tomoharu TANAKA et al.

Serial No. Unassigned

Group Art Unit: Unassigned

Filed: Concurrently herewith

Examiner: Unassigned

For: NON-VOLATILE SEMICONDUCTOR MEMORY DEVICE AND  
MEMORY SYSTEM USING THE SAME

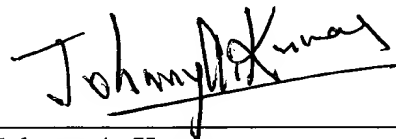
PROPOSED CHANGES TO THE DRAWINGS

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicants propose to amend Figure 53 as shown in red on the attached copy.  
With the Examiner's approval, the change will be made to the formal drawings in due  
course.

Respectfully submitted,



Johnny A. Kumar  
Reg. No. 34,649

November 28, 2000  
Date

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